



08-02-01

Sector #

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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Application Number

09/781,857

Filing Date

2/12/01

First Named Inventor

Erdogan

Group Art Unit

2433

Examiner Name

Not yet assigned

Total Number of Pages in This Submission

Attorney Docket Number

12-42-7

ENCLOSURES (check all that apply)

- ☒ Fee Transmittal Form
☐ Fee Attached
☐ Amendment / Reply
☐ After Final
☐ Affidavits/declaration(s)
☒ Extension of Time Request
☐ Express Abandonment Request
☐ Information Disclosure Statement
☐ Certified Copy of Priority Document(s)
☒ Response to Missing Parts/
Incomplete Application
☒ Response to Missing Parts
under 37 CFR 1.52 or 1.53

- ☒ Assignment Papers
(for an Application)
☒ Drawing(s) 7 sheets
formal
☐ Licensing-related Papers
☐ Petition
☐ Petition to Convert to a
Provisional Application
☒ Power of Attorney, Revocation
Change of Correspondence
Address
☐ Terminal Disclaimer
☐ Request for Refund
☐ CD, Number of CD(s) _____

- ☐ After Allowance Communication
to Group
☐ Appeal Communication to Board
of Appeals and Interferences
☐ Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)
☐ Proprietary Information
☐ Status Letter

☒ Other Enclosure(s) (please
identify below):

- ① Return receipt postcard
② Express mail certificate
of mailing

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENTFirm
or
Individual name

Wendy W. Koba, Esq.

Signature

Wendy W. Koba

Date

8/1/01

CERTIFICATE OF MAILINGI hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class ^{express} mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 8/1/01

Typed or printed name

Wendy W. Koba, Esq.

Signature

Wendy W. Koba

Date

8/1/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

Complete if Known

Application Number	09/781,857
Filing Date	2/12/01
First Named Inventor	Erdogan
Examiner Name	Not yet assigned
Group Art Unit	2633
Attorney Docket No.	12-42-7

TOTAL AMOUNT OF PAYMENT (\$)
280.00

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 12-2325

Deposit Account Name: Lucent Technologies

- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$) 0

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	=
Multiple Dependent	-3** =	X	=

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	80	202	40	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claim, if not paid	
109	80	209	40	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$) 0

*or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	110.00
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$) 280.00

SUBMITTED BY

Name (Pnnl/Type) Wendy W. Koba
Signature Wendy W. Koba

Registration No. (Attorney/Agent) 30509

Complete (if applicable)

Telephone 602-346-7112
Date 8/1/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231



#3

IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Inventors: Turan Erdogan
Thomas Andrew Strasser
Paul Stephen Westbrook

Case 12-42-7

Serial No. 09/781,857

Filed 2/12/01

Examiner Not Yet Assigned

Group Art Unit 2633

Title In-Line Polarization Monitoring and Control in Lightwave
Communication Systems

COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

SIR:

SUBMISSION OF MISSING PARTS OF APPLICATION UNDER 37 C.F.R. 1.53

This is in response to a NOTICE OF MISSING PARTS OF APPLICATION dated May 10, 2001. Enclosed are the following items for filing in the above-referenced application:

1. Declaration and Power of Attorney, executed on July 28, 2001, May 30, 2001, and May 23, 2001 respectively.
2. Assignment Recordation Cover Sheet
3. Assignment and Agreement, executed on July 28, 2001, May 30, 2001 and May 23, 2001, respectively.
4. Response copy of NOTICE OF MISSING PARTS OF APPLICATION.

The Commissioner is hereby authorized to charge payment of the Filing Fee and the Surcharge to **Deposit Account No. 12-2325**. A duplicate copy of this sheet is enclosed.

Having now complied with all of the requirements of 37 CFR 1.53, applicants respectfully request that this application be placed upon the files for examination.

Respectfully submitted,

Turan Erdogan
Thomas Andrew Strasser
Paul Stephen Westbrook

By: Wendy W. Koba
Wendy W. Koba
Attorney for applicants
Reg. No. 30509
610-346-7112

Date: 8/1/01



EXPRESS MAIL
CERTIFICATE OF MAILING

Patent Application for:

Applicants: Turan Erdogan
Thomas Andrew Strasser
Paul Stephen Westbrook

Atty. No: 12-42-7

Title: In-Line Polarization Monitoring and
Control in Lightwave Communication
Systems

I hereby certify that this correspondence is being deposited with the United States
Postal Service with sufficient postage as EXPRESS MAIL in an envelope addressed
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Washington, D.C. 20231

On 8/1/01

EXPRESS MAIL TRACKING NO. ET505586161 US

Type or Print name of person signing this certificate: Wendy W. Koba, Esq.

Signature: Wendy W. Koba



IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

Patent Application

Inventors: Turan Erdogan
Thomas Andrew Strasser
Paul Stephen Westbrook

Case: 12-42-7

Serial No. **09/781,857**

Filing Date 2/12/01

Title: **In-Line Polarization Monitoring and Control in Lightwave Communication Systems**

Attention: Official Draftperson

COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

SIR:

SUBMITTAL OF FORMAL DRAWINGS

Enclosed please find seven (7) sheets of Formal drawings for the above-identified application. Applicants believe that these drawings are in accordance with the requirements of PTO-1474. However, if the Official Draftperson determines that any changes are needed, he is requested to contact the undersigned to avoid any delay in the prosecution of this application.

Respectfully,

By: Wendy W. Koba
Wendy W. Koba, Esq.
Reg. No. 30509
Attorney for Application

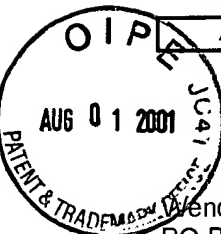
Date: 8/1/01

Att: - Formal Drawings (7 sheets)



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov



APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/781,857	02/12/2001	Erdogan	12-42-7

CONFIRMATION NO. 5151

FORMALITIES LETTER



OC000000006062066

Wendy W. Koba, Esq.
PO Box 556
Springtown, PA 18081

Date Mailed: 05/10/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

08/03/2001 TGEDA:U1 00000040 122325 09781857

01 FC:105 130.00 CH

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

Year	1970	1971	1972	1973	1974	1975	1976	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035	2036	2037	2038	2039	2040	2041	2042	2043	2044	2045	2046	2047	2048	2049	2050	2051	2052	2053	2054	2055	2056	2057	2058	2059	2060	2061	2062	2063	2064	2065	2066	2067	2068	2069	2070	2071	2072	2073	2074	2075	2076	2077	2078	2079	2080	2081	2082	2083	2084	2085	2086	2087	2088	2089	2090	2091	2092	2093	2094	2095	2096	2097	2098	2099	2100
1970	1971	1972	1973	1974	1975	1976	1977	1978	1979	1980	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035	2036	2037	2038	2039	2040	2041	2042	2043	2044	2045	2046	2047	2048	2049	2050	2051	2052	2053	2054	2055	2056	2057	2058	2059	2060	2061	2062	2063	2064	2065	2066	2067	2068	2069	2070	2071	2072	2073	2074	2075	2076	2077	2078	2079	2080	2081	2082	2083	2084	2085	2086	2087	2088	2089	2090	2091	2092	2093	2094	2095	2096	2097	2098	2099	2100	